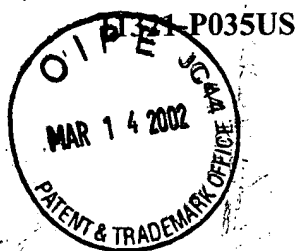


1754



PATENT

- 1 -

UNITED STATES PATENT AND TRADEMARK OFFICE

#4  
10/2/03

In re Application of:  
Richard E. Smalley et al.

: Group Art Unit:  
: 1754

Serial No.: 09/935,994

: Examiner: Not Yet Assigned

Filed: August 23, 2001

Title: POLYMER-WRAPPED SINGLE WALL CARBON NANOTUBES

INFORMATION DISCLOSURE STATEMENT

RECEIVED  
MAR 20 2002  
TC 1700

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

This Information Disclosure Statement is being submitted in connection with the above-identified application for patent. Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

CERTIFICATION UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence (along with any item referred to as being enclosed herewith) is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on March 5, 2002.

Signature

Gracie Segovia

(Printed name of person certifying)

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 C.F.R. § 1.98(a)(1).

A copy of each of the items identified on the attached Form PTO-1449 is supplied herewith, except for the pending patent applications, for which no copies are being submitted.

Respectfully submitted,

WINSTEAD SECHREST & MINICK P.C.

By: 

Ross Spencer Garsson  
Reg. No. 38,150

5400 Renaissance Tower  
1201 Elm Street  
Dallas, Texas 75270  
512/370-2870

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANTS' INFORMATION DISCLOSURE  
STATEMENT**

Serial No.: 09/935,994  
Applicants: Richard E. Smalley et al.  
Filing Date: August 23, 2001  
Group: 1754  
Atty. Docket No.: 11321-P035US

Reference Designation

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Translation Yes No
AAA	EP 0 949 199 A1	10/13/1999	Europe			Yes

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner Initial	
ADA	BAHR, <i>et al.</i> , "Functionalization of Carbon Nanotubes by Electrochemical Reduction of Aryl Diazonium Salts: A Bucky Paper Electrode," <i>J. Am. Chem. Soc.</i> , Volume 123, Number 27, 2001, pp. 6536-6542.
AEA	COLEMAN, <i>et al.</i> , "Percolation-dominated conductivity in a conjugated-polymer-carbon-nanotube composite," <i>Physical Review B</i> , Volume 58, Number 12, September 15, 1998, pp. R7492-R7495.
AFA	CURRAN, <i>et al.</i> , "A Composite from Poly( <i>m</i> -phenylenevinylene-co-2, 5-dioctoxy- <i>p</i> -phenylenevinylene) and Carbon Nanotubes: A Novel Material for Molecular Optoelectronics," <i>Adv. Mater.</i> , Volume 10, Number 14, 1998, pp. 1091-1093.
AGA	DALTON, <i>et al.</i> , "A functional conjugated polymer to process, purify and selectively interact with single wall carbon nanotubes," <i>Synthetic Metals</i> , 121 (2001), pp. 1217-1218.
AHA	GRIMES, <i>et al.</i> , "The 500 MHz to 5.50 GHz complex permittivity spectra of single-wall carbon nanotube-loaded polymer composites," <i>Chem. Phys. Lett.</i> , 319 (2000), pp. 460-464.
AIA	JUREWICZ, <i>et al.</i> , "Supercapacitors from nanotubes/polypyrrole composites," <i>Chem. Phys. Lett.</i> , 347 (2001), pp. 36-40.
AJA	MCCARTHY, <i>et al.</i> , "Complex nano-assemblies of polymers and carbon nanotubes," <i>Nanotechnology</i> , Volume 12 (2001), pp. 187-190.
AKA	PANHUIS, <i>et al.</i> , "Optimal polymer characteristics for nanotube solubility," <i>Synthetic Metals</i> , Volume 121 (2001), pp. 1187-1188.
ALA	O'CONNELL, <i>et al.</i> , "Reversible water-solubilization of single-walled carbon nanotubes by polymer wrapping," <i>Chem. Phys. Lett.</i> , 342 (2001), pp. 265-271.
AMA	STAR, <i>et al.</i> , "Preparation and Properties of Polymer-Wrapped Single-Walled Carbon Nanotubes," <i>Angew. Chem. Int. Ed.</i> , Volume 40, Number 9 (2001), pp. 1721-1725.
ANA	RIGGS, <i>et al.</i> , "Strong Luminescence of Solubilized Carbon Nanotubes," <i>J. Am. Chem. Soc.</i> , 122 (2000), pp. 5879-5880.
AOA	DALTON, <i>et al.</i> , "Selective Interaction of a Semiconjugated Organic Polymer with Single-Wall Nanotubes," <i>J. Phys. Chem. B.</i> , 104 (2000), 10012-10016.
APA	JIN <i>et al.</i> , "Nonlinear optical properties of some polymer/multi-walled carbon nanotube composites," <i>Chem. Phys. Lett.</i> , 318 (2000), pp. 505-510.
AQA	MCCARTHY, <i>et al.</i> , "Microscopy studies of nanotube-conjugated polymer interactions," <i>Synthetic Metals</i> , 121 (2001), pp. 1225-1226.
ARA	FAN, <i>et al.</i> , "Synthesis, Characterizations, and Physical Properties of Carbon Nanotubes Coated by Conducting Polypyrrole," <i>Journal of Applied Science</i> , Volume 74 (1999), 2605-2610.
ASA	TANG, <i>et al.</i> , "Preparation, Alignment, and Optical Properties of Soluble Poly(phenylacetylene)-Wrapped Carbon Nanotubes," <i>Macromolecules</i> , Volume 32 (1999), pp. 2569-2576.
ATA	CHEN, <i>et al.</i> , "Carbon Nanotube and Polypyrrole Composites: Coating and Doping," <i>Adv. Mater.</i> , Volume 12, Number 7 (2000), pp. 522-526.

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.